

Request for Applications

U.S. Environmental Protection Agency
Office of Research and Development, Office of Science Policy

Foresight and the Future of Environmental Quality

Funding Opportunity Number: USEPA-ORD-OSP-05-01
Catalog of Federal Domestic Assistance (CFDA) Number: 66.510

Opening Date: April 15, 2005
Closing Date: 45 days after announcement (May 31, 2005)

Technical and Eligibility Contact: Anita Street, Phone: 202-564-3626;
email: street.anita@epa.gov

OVERVIEW

Synopsis of Funding Opportunity:

Through a cooperative agreement, EPA's Office of Research and Development will fund efforts (projects) that promote the learning and application of foresight techniques among a diverse group of environmental stakeholders to improve long-range planning, inform decision making and support policy development.

This is the initial announcement for this funding opportunity.

Award Information:

Anticipated Type of Award: Cooperative Agreement
Estimated Number of Awards: 1 or more awards
Anticipated Funding Amount: Approximately \$450,000
Potential Funding per Assistance Agreement: \$150,000/year for a period of 1 – 3 years. Proposals with budgets exceeding the total award limits will not be considered.

Eligibility information:

States, territories and possessions, and Tribal nations of the United States, including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals who have demonstrated unusually high scientific ability are eligible.

Contact Person:

Technical and Eligibility Contact: Anita Street, Phone: 202-564-3626;
email: street.anita@epa.gov

SECTION 1: FUNDING OPPORTUNITY DESCRIPTION

Background

Our nation's approach to environmental protection has been largely reactive. Environmental laws, institutions and regulations have been created in response to existing environmental and public health threats. Policymakers rarely have the opportunity to contemplate long-term or emerging environmental challenges that lie ahead.

Futures analysis helps position organizations to anticipate future environmental issues and encourages proactive planning to avoid problems, rather than responding after the fact. An awareness of the environmental consequences of future social, economic, and technological changes can help public sector leaders make better-informed, strategic decisions about environmental protection in a rapidly changing world.

In addition to improving planning and foresight capabilities, EPA seeks to improve public access to meaningful environmental information in a way that builds knowledge and understanding of institutions, individuals and communities about issues that affect the environment and human health

<http://www.epa.gov/ocfo/futures/>; <http://www.epa.gov/osp/efuture.htm> .

In 2000, EPA's Office of Research and Development (ORD) and the Office of the Chief Financial Officer (OCFO) established a cooperative agreement to convene workshops and seminars, providing fora for scholars, government policymakers, NGOs, and private sector executives to identify early signals of future environmental risks and opportunities. Seminars, workshops, and white papers sparked policy deliberations that led to, among other things, interagency collaborations as well as cooperative research and development agreements (CRADAs) with industry in critical research areas such as computational toxicology and genomics <http://www.epa.gov/comptox/>.

Areas of Interest

To encourage environmental foresight and long-range planning throughout government as well as to inform and engage the American public about the above-mentioned areas of interest, ORD is requesting proposals to address the future challenges and opportunities confronting governance structures by assisting EPA and other public sector entities to:

- Support public sector foresight efforts through the building of networks of scholars and futurists;
- Identify key emerging technological, sociological, demographic and environmental trends, transformations and disruptions, that may lead to strategies for dealing effectively with long-term issues impacting environmental protection, environmental stakeholders, government entities, and society at large;

- Foster collaborative initiatives that incorporate foresight techniques in the policy development process (and related potential research needs);
- Facilitate broad discussion of these issues among representatives from government, industry, academia, NGOs and the interested public; and
- Widely disseminate findings in a publicly accessible manner.

EPA is interested in the long-term (5 – 20 years) environmental, societal and policy implications of transformative technologies, such as those listed below. However, applicants should not feel limited by these subject areas. During the grant period, successful applicant(s) must consider or identify additional emerging/future novel technological advances as they arise. Areas of interest that have been explored through previous work include: nanotechnology, information technology, ecological thresholds, genomics, environmental modeling, and radiation protection. Generally, current areas of interest include, **but are not limited to:** nanotechnology, distributed sensing and monitoring networks, biotechnology, demographics, converging technologies (nano-, bio-, info- technologies and cognitive sciences), and information technology/informatics.

Environmental Results

Under the Government Performance and Results Act (GPRA), agencies are required to report to Congress each year on their progress toward their strategic goals. Agencies set annual performance goals and establish measures to determine how much progress they are making toward achieving those goals.

EPA's 2003 Strategic Plan is constructed around five goals that describe the results EPA is striving to achieve: Clean Air and Global Climate Change, Clean and Safe Water, Land Preservation and Restoration, Healthy Communities and Ecosystems, and Compliance and Environmental Stewardship. Under its Strategic Plan, the Agency treats critical functions, such as sound science, quality environmental information, and innovation as "Cross-Goal Strategies" that serve as the means the Agency uses to achieve each of its five goals
<http://www.epa.gov/ocfo/plan/plan.htm>.

Applicants must clearly articulate how results (outputs and/or outcomes) from the project will contribute to EPA's strategic goals and objectives. The term "outcome," as defined by EPA, is described as the "result, effect or consequence that will occur from carrying out an environmental program or activity that is related to an environmental or programmatic goal or objective. Outcomes may be environmental, behavioral, health-related or programmatic in nature, must be quantitative, and may not necessarily be achievable within an assistance agreement funding period."

The term "output," as defined by EPA, means "an environmental activity, effort and/or associated work products related to an environmental goal or objective that will be produced or provided over a period of time or by a specified date.

Outputs may be quantitative or qualitative but must be measurable during an assistance agreement funding period.”

Statutory Authority

The authority for this RFA and resulting awards are contained in Clean Air Act, Section 103, as amended, Public Law 95-95, 42 U.S.C. 7401 et seq.; Clean Water Act, Section 104, as amended, Public Law 95-217, 33 U.S.C. 1251 et seq.; Solid Waste Disposal Act, Section 8001, as amended 42 U.S.C. 6981; Safe Drinking Water Act, Section 1442, as amended, Public Law 93- 523, Toxic Substances Control Act, Section 10, as amended 15 U.S.C. 2609; Federal Insecticide, Fungicide, and Rodenticide Act, Section 20, as amended 7 U.S.C. 136r; Comprehensive Environmental Response, Compensation, and Liability Act, Section 311, 42 U.S.C. 9660.

SECTION 2: AWARD INFORMATION

EPA anticipates one or more awards totaling up to \$450,000 over a three-year period (subject to Agency appropriations) via cooperative agreement. The projected amount per award is \$50,000 to \$150,000 per year total costs. EPA may also make partial awards to multiple applicants. Requests for amounts in excess of total project costs of \$450,000 will not be considered. The total project period for an application submitted in response to this RFA shall not exceed 3 years. **EPA reserves the right to reject all applications/proposals and make no awards.**

The anticipated date of award is October 1, 2005. This date may change without notification if unforeseen circumstances arise that prevent award by this date.

This program is described in the Catalog of Federal Domestic Assistance Number 66.510.

SECTION 3: ELIGIBILITY INFORMATION

This program is available to each State, territory and possession, and Tribal nation of the United States, including the District of Columbia, for public and private State universities and colleges, hospitals, laboratories, State and local government departments, other public or private nonprofit institutions, and in some cases, individuals who have demonstrated unusually high scientific ability. For certain competitive funding opportunities, EPA may limit eligibility to a particular subset of eligible applicants consistent with EPA’s competition policy.

Potential applicants who are uncertain of their eligibility should contact Anita Street in the Office of Science Policy at 202-564-3626 or email Ms. Street at street.anita@epa.gov.

Cost Sharing

Institutional cost-sharing and in-kind support are encouraged but not required. Matching funds are considered grant funds and are included in the total award amount. Any restrictions on the use of grant funds also apply to the use of matching funds as reasonable and necessary expenses to implement the approved work plan.

SECTION 4: APPLICATION AND SUBMISSION

Confidential Business Information

In accordance with 40 CFR 2.203, applicants may claim all or a portion of their application/proposal as confidential business information. EPA will evaluate confidentiality claims in accordance with 40 CFR Part 2. Applicants must clearly mark applications/proposals or portions of applications/proposals they claim as confidential. If no claim of confidentiality is made, EPA is not required to make the inquiry to the applicant otherwise required by 40 CFR 2.204(c)(2) prior to disclosure.

Address to Request Application Package

Grant application forms are available at <http://www.epa.gov/ogd/AppKit/index.htm> or upon request by calling the Grants Administration Division at 202-564-5305. Requests for application kits may also be submitted to the Environmental Protection Agency, Grants Administration Division, 3903R, Washington D.C. 20460.

Content and Format for Submission

Proposals must be typewritten, double-spaced and limited to 10 pages front and back in 12 point type on 8.5 X 11 inch paper with minimum 1 inch margins (top, bottom, right, left). One signed original and two hard copies must be submitted. Pages must be numbered in order beginning with the Introduction page and continuing through the end. Proposals that do not follow the format will not be reviewed. Proposals must include the following:

1. **Cover Letter.** The cover letter accompanies the proposal must be signed by an official with the authority to commit the organization to the project and must be written on the organization's official letterhead. The cover letter will not count against the proposal page number limitations.
2. **Introduction.** Applicants must fully explain in detail the organization's ability to develop content and conduct workshops/seminars, conduct research, and develop education materials for the American public. Applicants must describe organizational capabilities to think creatively about the environmental consequences of future social, economic, and technological changes.

3. **General Description of How the Project Will be Implemented.**

Applicants are encouraged to clearly articulate how they intend to: help build capacity and for public sector foresight and improve long-range strategic planning and explain who will benefit from this work; identify key emerging technological, sociological and environmental trends that may lead to strategies for dealing effectively with long-term issues impacting, environmental stakeholders, government entities, and society at large; foster collaborative initiatives that incorporate foresight techniques in the policy development process; facilitate broad discussion of these issues among representatives from a diverse group of stakeholders; and widely disseminate findings in a publicly accessible manner. EPA is very interested in the: promotion of learning of foresight by all interested stakeholders; general engagement of the public in areas of emerging research and science that have environmental implications; and fostering collaborative interactions among stakeholders.

Applicants must further describe the organization's (and any partnering organization's) interest and goals in entering into a cooperative agreement, the availability and qualifications of staff, and available resources to implement the project.

4. **Budget.** Applicants must provide a detailed budget for the overall project broken out by director, fringe benefits, equipment, travel, other direct costs and overhead with summaries for each year. Budgets should also describe any leveraged resources. Estimated value of in-kind services or any form of cash should also be clearly indicated. EPA does not require matching funds for this program (see Section 3 on cost sharing).
5. **Timeline.** Describe quantifiable goals and tasks including a reasonable timeline for accomplishing the project. Measures of success and expected outcome/outputs should be clearly stated.
6. **Required Federal and EPA Forms.** All applicants **must** submit the following:
- Application for Federal Assistance (SF 424) – SF 424 is a standard Federal form to be used by applicants as a required cover sheet for this cooperative agreement. Note that the “Catalog of Federal Domestic Assistance (CFDA) number to be entered in Block 10 is 66.510.
 - Budget Information: Non-construction Programs (SF 424A) - Data Universal Number System (DUNS) Number -- The Data Universal Number System (DUNS) number is a unique nine-digit identification number provided by Dun & Bradstreet (D&B). In order to provide on-the-spot DUNS number assignment, the applicant should

request a DUNS number by telephone (see telephone number below).

Applicants should verify whether they have a DUNS number or take steps needed to obtain one as soon as possible if there is a possibility your organization will be applying for Federal grants or cooperative agreements in the future, there is no need to wait until you are submitting a particular application.

If you already have a DUNS number, you should use that number on all of your applications. It is not necessary to request another DUNS number from D&B. You may request for D&B to supply a family tree report of the DUNS numbers associated with your organization. Organizations should work with D&B to ensure the right information is on the report. Organizations should not establish new numbers but use existing numbers and update/validate the information associated with the number

If you are not sure if you have a DUNS number, call D&B using the toll-free number 1-866-705-5711 and indicate that you are a Federal grant applicant/prospective applicant. D&B will tell you if you already have a number. If you do not have a number one will be assigned to you **free of charge**. If know you do not have a DUNS number, follow the same procedure by calling the D&B toll-free number and indicate that you are a Federal grant applicant/prospective applicant. D&B will immediately assign you a number **free of charge**.

7. **Biographical Sketches and Organizational Past Performance on Federal Grants.** Applicants must provide biographical information detailing staff working on previous Federal grants and experience with management of Federal grants.
8. **Personnel.** Personnel to be assigned to this cooperative agreement must be identified and biographical information provided describing qualifying education and experience. In situations where additional expertise is required personnel may be hired; however a clear description of the position(s) must be given to indicate the qualifications of individuals the applicant will be seeking.

Programmatic Capability

The term “programmatic capability” means the technical capability of an applicant or recipient to successfully carry out the project described in this Request for Applications taking into account such factors as the applicant’s: (i) past performance in successfully completing federally and/or non-federally funded projects similar in size, scope, and relevance to the proposed project, (ii) history

of meeting reporting requirements on prior or current assistance agreements with federal and/or non-federal organizations and submitting acceptable final technical reports, (iii) organizational experience and plan for timely and successfully achieving the objectives of the project, and (iv) staff expertise/qualifications, staff knowledge, and resources or the ability to obtain them, to successfully achieve the goals of the project.

Applicants must respond to the above factors in way that describes their past experience in successfully carrying out projects of a similar size and scope, and overall organizational ability to meet the specifications of the project. In evaluating applicants for programmatic capability purposes, EPA will consider information provided by the applicant in the application/proposal and may consider information from other sources including Agency files.

Submission Dates and Times

Applications must be received on or before **May 31, 2005 by 5:00 p.m.**, packets received or delivered after this date will not be reviewed. Applicants can use one of the following methods of submittal: courier, overnight mail, or hand delivery. Delivery of a signed original AND two hard copies of the proposal are considered a complete packet. Deliveries must be made to one of the following addresses:

For U.S. Mail:

Attention: Anita Street
U.S. Environmental Protection Agency
Office of Research and Development (8104R)
Office of Science Policy (Room 51120)
1200 Pennsylvania Avenue, NW
Washington, D.C. 20460

For Fed Ex Deliveries, hand deliveries and couriers:

Attention: Anita Street
U.S. Environmental Protection Agency
Office of Research and Development
Office Science Policy
Ronald Reagan International Trade Building
1300 Pennsylvania Avenue, NW (Room 51120)
Washington, D.C. 20460

What to submit	Required content	Required form or format	When to submit it
Pre-application (not required)	N/A	N/A	N/A
Application: Cover sheet.....	(per required form)....	Form SF-424 available from: http://www.epa.gov/ogd/AppKit/application.htm	By May 31, 2005 by 5:00 pm
Budget information.....	(per required form)....	Form SF-424A available from: http://www.epa.gov/ogd/AppKit/application.htm	By May 31, 2005 by 5:00 pm
Narrative.....	See Section 4 of this announcement	Format described in Section 4 of this announcement	By May 31, 2005 by 5:00 pm
Assurance.....	(per required form)....	Form SF424-B available from: http://www.epa.gov/ogd/AppKit/application.htm	By May 31, 2005 by 5:00 pm
Letters from third parties contributing to cost sharing.	Third parties' affirmations of amounts of their commitments	No specific form or format.	By May 31, 2005 by 5:00 pm

SECTION 5: APPLICATION REVIEW

Evaluation Criteria

This program is competitive. EPA will conduct the review and evaluation of eligible proposals and make a cooperative agreement(s) based upon the applicant's ability to meet the evaluation factors stated below. The criteria are listed in descending order of importance. Reviewers are asked to assign a summary score to the application and use the criteria below to help them in their evaluations.

Detailed workplan for helping to build capacity for public sector foresight and improve long-range strategic planning; identifying key emerging technological, sociological, demographic and environmental trends; fostering collaborative initiatives that incorporate foresight techniques in the policy development process; and facilitating broad discussion of these issues among representatives from a diverse group of stakeholders; and widely disseminating findings in a publicly accessible manner.
Degree of theoretical and applied knowledge of foresight methodologies, futures and analysis and the development of environmental/public policy.
Degree of experience in convening and facilitating a diverse group of stakeholders and leading edge experts on emerging issues in the Washington, DC area.
Degree of experience in identifying and researching key emerging technological, sociological, demographic and environmental trends that may lead to strategies for dealing effectively with long-term issues impacting environmental stakeholders, government entities, and the American public.
Degree of experience in developing publicly accessible information for wide dissemination in the form of white papers, websites, or other broadcast media.
Detailed description of how the applicant will communicate environmental results to EPA from its project based on clearly articulated outputs and measurable outcomes, including results related to goals and objectives outlined in EPA's Strategic Plan .
Appropriateness of the applicant's budget.
Demonstrated administrative and programmatic capability of the applicant to effectively manage a federal assistance award. Applicants must disclose audit findings, cost disallowance, special terms and conditions, or any adverse actions relating to their performance with a federal assistance agreement.

Review and Selection Process

EPA will establish a review panel consisting of Federal employees familiar with futures analysis, emerging technologies and the implications on environmental policy. Each member of the review panel will score applications independently using the evaluation factors identified above. Applications will be ranked according to its average score. Final selections will be approved by EPA senior management.

EPA makes assistance awards to eligible organizations provided they have the administrative capability to safeguard EPA funds and the programmatic capability to perform the proposed work effectively. Further, it is EPA policy to address, to the maximum extent practicable, deficiencies in programmatic capability of eligible organizations at the pre-award stage. It is also EPA policy to promptly address a material failure to comply by non-profit recipients, including, where appropriate, referring them to EPA's Suspension and Debarment program for possible action under 40 CFR Part 32.

SECTION 6: AWARD ADMINISTRATION

Administrative Capability

For purposes of this solicitation, the term "administrative capability" means the capability of an applicant or recipient to develop and implement administrative systems required by 40 CFR Part 30, including systems related to financial management, property management, procurement standards, financial reporting, record-keeping, and submission of administrative reports/certifications for grant closeout.

Applicants that are recommended for funding may be subject to pre-award administrative capability reviews in accordance with Sections 8b, 8c and 9d of EPA Order 5700.8 "EPA Policy on Assessing Capabilities of Non-profit Applicants for Managing Assistance Agreements" (http://www.epa.gov/ogd/grants/award/5700_8.pdf).

Should a funding action exceed the \$200,000 threshold based on total project costs, applicants may be asked to complete an administrative capabilities form if the applicant has not been previously certified as administratively capable. For example, a new award consisting of three \$75,000 increments over three years is above the threshold, while an award of \$210,000 with a cost-share of \$50,000 is not.

Award Notices

EPA will notify, in writing, those applicants who were not selected within 60-90 days of receiving applications. EPA will notify the selected applicant(s) by telephone and e-mail. The notification is not an authorization to begin performance. Official notification of the actual cooperative agreement award(s) will be made to the organization(s) by EPA's Grants Administration Division in accordance with standard Agency practices. The selected applicant(s) may be asked to modify their work plan and budget before work begins.

Administrative and National Policy Requirements

For grants and cooperative agreements with States, local governments and Indian tribal governments, the procedures and requirements should be in conformance with 40 CFR Part 31 "Uniform Administrative Requirements for Grants and Cooperative Agreements to State and Local Governments," 40 CFR Part 35, "Environmental Program Grants-State, Interstate, and Local Governments Agencies" and Office of Management and Budget Circular Nos. 1-87 "Cost Principles for State and Local Governments" and A-12, "grants and cooperative agreements for States and Local Governments." For grants and cooperative agreements with other entities the procedures should be in conformance with 40 CFR Part 30, "Grants and Agreements with Institutions of Higher Education, Hospitals, and Other Non-Profit Organizations" and Office of Management and Budget Circulars Nos. A-21 for universities, "Cost Principles for Educational Institutions," and A-122 for non-profit organizations, "Cost Principles for Non-Profit Organizations" <http://whitehouse.gov/omb/circulars/>.

In accordance with EPA guidance and Office of Management and Budget Circulars, as appropriate, the recipient(s) must agree that it will not use assistance funds for lobbying, fund-raising or political activities (e.g., lobbying members of Congress, or lobbying for other federal grants, cooperative agreement or contracts). The terms and conditions of the formal cooperative agreement may put additional and specific limitations on the funding. In negotiating the cooperative agreement, EPA will work closely with the recipient to incorporate appropriate performance measures, terms and conditions, reporting requirements and information quality guidelines into the grant agreement consistent with 40 CFR 30.51, 31.40, 35.115 and 35.515. These regulations provide some flexibility in determining the appropriate content and frequency of performance reports. At a minimum, however, the reporting schedule must require the recipient to report at least annually. For the purpose of this cooperative agreement, reporting will be quarterly.

Assistance agreement competition-related disputes will be resolved in accordance with the dispute resolution procedures published in 70 FR (Federal Register) 3629, 3630 (January 26, 2005) which can be found at <http://a257.g.akamaitech.net/7/257/2422/01jan20051800/edocket.access.gpo.gov/2005/05-1371.htm> . FOR FURTHER INFORMATION CONTACT: Bruce Binder, Associate Director for Grants Competition, Office of Grants and Debarment, 1200 Pennsylvania Avenue, NW., Mail Code 3901R, Washington,

DC 20460. The telephone number is (202) 564-4935; facsimile number (202) 565-2469; and e-mail address is binder.bruce@epa.gov. Copies of the Class Deviation are available by contacting Bruce Binder as indicated above.

SECTION 7: AGENCY CONTACTS

Further information, if needed can be obtained from the EPA official indicated below. Email inquiries are preferred. Anita Street; Phone: 202-564-3626; email: street.anita@epa.gov

SECTION 8: OTHER INFORMATION

Coalition Applications

Groups of two or more eligible applicants may choose to form a coalition and submit a single application for this cooperative agreement. However, one recipient will have to serve as the lead since EPA cannot issue assistance awards to partnerships. Coalitions must therefore, identify which eligible organization will be the recipient of the cooperative agreement and which eligible organization(s) will be subawardees of the recipient. Subawards must be consistent with the definition of that term in 40 CFR 30.2(ff). Please note that for-profits are not eligible applicants. Any contracts for services or products funded with EPA financial assistance must be awarded under the competitive procurement provisions of 40 CFR Part 30. The recipient must administer the cooperative agreement. The recipient is accountable to EPA for proper expenditure of the funds and will be the point of contact for the coalition. As provided in 40 CFR 30.2 (gg), subrecipients are accountable to the recipient for proper use of EPA funding.

EPA Websites

Applicants are referred to the following web sites for further information about futures and emerging technologies. These sites may prove useful in helping applicants develop their proposals.

<http://www.epa.gov/ocfo/futures/>
<http://www.epa.gov/osp/efuture.htm>
www.epa.gov/sustainability
<http://www.epa.gov/ocfo/plan/plan.htm>
<http://www.epa.gov/ogd/>